°FORM PTO-1390 (REV 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK

TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

449122019600

US APPLICATION NO (If known, see 37 CFR 1 5)

CONCERNING A FILING UNDER 35 U.S.C. § 371 INTERNATIONAL APPLICATION NO. INTERNATIONAL FILING DATE PRIORITY DATE CLAIMED April 11, 2000 July 6,1999 PCT/DE00/01116 TITLE OF INVENTION METHOD AND DEVICE FOR SPEECH PROCESSING APPLICANT(S) FOR DO/EO/US Gerhard NIEDERMAIR Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: 区 This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. This is an express request to begin national examination procedures (35 U.S C. 371(f)). The submission must include items (5), (6), (9) and (21) 3. indicated below. × The US has been elected by the expiration of 19 months from the priority date (PCT Article 31). X 5. A copy of the International Application as filed (35 U.S.C. 371(c)(2)) 図 is attached hereto (required only if not communicated by the International Bureau). a. × has been communicated by the International Bureau. b. c. is not required, as the application was filed in the United States Receiving Office (RO/US). × An English language translation of the International Application under PCT Article 19 (35 U.S.C. 371(c)(2)).  $\mathbf{x}$ is attached hereto. b. × has been previously submitted under 35 U.S.C. 154(d)(4). Amendments to the claims of the International Application under PCT Article 19 (35 U S.C. 371(c)(3)). are attached hereto (required only if not communicated by the International Bureau). b. have been communicated by the International Bureau. have not been made; however, the time limit for making such amendments has NOT expired. c. d. have not been made and will not be made. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). × An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11. to 16. below concern document(s) or information included: × An Information Disclosure Statement under 37 CFR 1.97 and 1.98. × An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 12. 13. A FIRST preliminary amendment. A SECOND or SUBSEQUENT preliminary amendment. A substitute specification. 16 A change of power of attorney and/or address letter. 17 A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S C 1.821 - 1.825. 18 П A second copy of the published international application under 35 U.S.C. 154(d)(4). 19 A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. X Other items or information: 1) Application Data Sheet; 2)Int'll Search Report; 3) IPER; 4) Return receipt postcard. CERTIFICATE OF HAND DELIVERY I hereby certify that this correspondence is being hand filed with the United States Patent and Trademark Office in Washington, D.C. on December 27, 2001.

Melissa Garton

U.S. APPLICATION NO (1f known, see 37 CFR 1 5)  INTERNATIONAL APPLICATION NO  ATTORNEY DOCKET NO						
Not yet a	<b>7</b> 9			E00/01116	449122019	
•				CALCULATIONS		
	21.   The following fees are submitted:  BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)):				PTO USE ONLY	
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nor	Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO\$1,000.00					
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO\$860.00					t	
International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO\$710.00						
International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provision of PCT Article 33(1)-(4)						
International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)\$100.00						
ENTER APPROPRIATE BASIC FEE AMOUNT =				\$860.00		
Surcharge of \$130.00 for furnishing the oath or declaration later than $\square$ 20 $\square$ 30 months from the earliest claimed priority date (37 CFR 1.492(e)).					\$0	
C	CLAIMS	NUMBER FILED	NUMBER EXTR			
inanii:	tal claims	- 20 =		x \$18.00	\$0	
	endent claims	- 3 =		x \$80.00	\$0	
	MULTIPLE DEPENDENT CLAIM(S) (if applicable) + \$270.00			\$0		
	TOTAL OF ABOVE CALCULATIONS =			\$860.00		
Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½.  SUBTOTAL =			\$0			
	SUBTOTAL =			\$0		
Processing fee of \$130.00 for furnishing the English translation later than  20 □ 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +			\$0			
n Mi	TOTAL NATIONAL FEE =			\$0		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +			\$40.00			
TOTAL FEES ENCLOSED =			\$900.00			
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  Please charge my <u>Deposit Account No. 03-1952</u> (referencing Docket No. 44912-20196.00) in the amount of \$900.00 to cover the above fees. A duplicate copy of this sheet is enclosed.
- b. End The Commissioner is hereby authorized to charge any additional fees that may be required, or credit any overpayment to <a href="Deposit Account No. 03-1952">Deposit Account No. 03-1952</a> (referencing Docket No. 44912-20196.00).

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Kevin R. Spivak Morrison & Foerster LLP 2000 Pennsylvania Avenue, N.W. Washington, D.C. 20006-1888

Kevin R. Spivak Registration No. 43,148

December 27, 2001

## Method and device for speech processing

The development of workaday speech recognition systems and speech control systems has for years been one of the main lines of development of computer technology. In the course of this development, substantial advances have been achieved and marketable speech recognition systems have been established which are also proving 10 themselves in practical use. Advanced systems of this type are also fundamentally suited for speech control of a computer and/or of connected peripherals. Simple speech recognition systems, which can, however, process only a relatively small vocabulary, are also already in 15 use in the sectors of consumer electronics and motor vehicle equipment, as well as further sectors in which acoustic control of equipment on the basis of a limited vocabulary is possible and sensible.

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As a rule, in the case of speech recognition systems there are tools which can be used to input vocabulary to be recognized by the speech recognition system. As a rule, the words or utterances are input in orthographic notation via an appropriate interface software of the computer program and are automatically converted into the internal notation of the speech (mostly a variant of phonetic recognition system transcription (phonetic script)). In this conversion process, which is automatic or supported by lexicon look-up, errors can occur in the phonetic transcription which arise from inadequate conversion rules and/or incomplete lexica. Since the speech recognition system builds up its recognition process on the basis of the phonetic transcription thus generated, an incorrect phonetic transcription also produces errors in the speech recognition.

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In order to ensure optimum performance, it must be ensured that the phonetic transcription is as correct as possible.

- The problem has so far been solved in that the user has 5 been able to check manually the phonetic transcription generated by the system after inputting orthographic (correct) notation. However, this is difficult, staff. as а rule, for untrained 10 Consequently, use has been made of various aids on offer in SW on the market:
  - 1. The user can have displayed for himself words which are typical of the various phonetic symbols and in which such symbols are contained, and can correct the phonetic notation manually. In this case, he is further supported in a few systems to the effect that no incorrect character sequences of the phonetic transcription can be used, since the software employed can input only those character strings which represent a valid ASCII sequence for the phonetic character set used.
- 2. The phonetic transcription is converted again into an audible speech from the phonetic notation with the aid of text-to-speech software systems, that is to say speech synthesizing methods. This serves the purpose of the acoustic plausibility check of the phoneme string which has been automatically generated by the system for a word. This audible test can, however, eliminate only drastic errors and is subject to the shortcomings of the acoustic channel. Moreover, it is necessary to ensure correspondence between the phonetic alphabets used in the speech recognition as also in the speech synthesis, and this is so in very few cases.

The invention is therefore based on the object of specifying an improved method and a device for speech processing which are distinguished, in particular, by a substantially improved user-friendliness and, in

conjunction therewith, also by enhanced accuracy and reliability.

This object is achieved with regard to the aspect of its method by a method having the features of claim 1, and with regard to the aspect of its device by a device having the features of claim 6.

The invention includes the essential idea of replacing the outputting of a word converted into phonetic 10 transcription, something which is unfamiliar to, handled only with difficulty bv linguistically untrained user, in this phonetic transcription (phonetic script) by an outputting which is simple and can be handled more reliably. It further 15 includes the idea of selecting for this purpose an output form which is to be denoted as orthographic" and does not demand of the user knowledge of special characters of the phonetic transcription and of their special rules. Put simply, the outputting of 20 the converted words is performed "in the way they are spoken".

This pseudo-orthographic outputting, which is easy to understand even for the layman and can be effectively 25 language converted into phonetic of a transcription requires an additional step in the speech processing method, specifically the step of conversion from the phonetic transcription into this pseudorepresentation. This additional orthographic 30 includes a method in the case of which the phonetic units of the words are converted, in a self-learning fashion or with access to a predetermined set of rules, into simple graphemic units of written script. This conversion is performed in a simple and expedient 35 embodiment by accessing a stored phoneme/grapheme assignment table which is initialized at least with an can, assignment rules and stock of appropriate, be extended by the user in the course of a self-learning process during the application of the system on the basis of additional inputs.

In a particularly convenient design which is advantageous for the purpose of the self-learning process mentioned, the method also comprises a further conversion step of reverse conversion into the phonetic transcription from a pseudo-orthographic representation (employed by the user when inputting for the purpose of correcting the primary conversion result). The tabular assignment mentioned can also be used in this step and, if appropriate, can be supplemented and refined in the course of a self-learning process.

In accordance with the method features specified above, in addition to a first converter unit known per se for converting an orthographic input into the phonetic transcription, a device for carrying out the proposed method has a second converter unit for converting from the phonetic transcription into the pseudo-orthographic representation mentioned, and an output unit for outputting in this form of representation.

The device has an appropriate third converter unit for the abovementioned development of the method, which permits the user to make a correcting input by using the pseudo-orthographic representation.

In order to apply the phoneme/grapheme assignment table mentioned, in a preferred embodiment the device has an appropriate memory in which this assignment table is held accessibly for the second and/or third converter unit.

Advantages and expedient features of the invention emerge for the rest from the subclaims and the following description of a preferred exemplary embodiment with the aid of the figure.

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The figure shows a schematic illustration of a speech processing device 1 for carrying out the method according to the invention in an embodiment in the form of a functional block diagram. The speech processing device 1 comprises an acoustic input unit 3 at whose output a preprocessed stream of speech S1 is present which is fed to an input of a speech recognition unit 5 which outputs a written text S2. The speech recognition unit 5 comprises a vocabulary memory 5a in which the vocabulary of the speech recognition unit is stored in the phonetic notation customary in conventional speech recognition systems.

The vocabulary memory 5a is continuously updated by the input of additional terms by means of an alphanumeric input unit 7, which terms are converted from the orthographic input format in a first converter unit 9 into the phonetic transcription (phonetic script). A lexicon memory 11 supports the conversion procedure in the first converter unit 9. For the purpose of checking and correcting undertaken inputs, a second converter for converting the phonetic is provided 13 pseudo-orthographic transcription а into representation. This is indicated on a display screen 15 for the user.

17 for third converter unit provided is a via the inputs pseudo-orthographic converting alphanumeric input unit 7 into phonetic notation, the output of which is connected to the vocabulary memory 5a of the speech recognition unit 5. The second and third converter units 13, 17 are assigned an assignment memory 19, organized in the form of a look-up table, for predetermined phoneme/grapheme assignments.

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An input, performed by the user, of a new term in correct orthographic notation is converted in the first converter unit 9 into phonetic script and can -depending on the actual organization of the system -already be fed in this form to the vocabulary memory

5a. In each case, the word converted into phonetic script is fed, however, to the second converter unit further conversion into pseudo-13, where a orthographic representation is performed, which is displayed on the display screen 15 and causes the user, 5 if appropriate via the input unit 7 - now in the pseudo-orthographic representation, which also appears on the display screen - to make a correcting input, or confirm the displayed pseudo-orthographic else to pseudo-orthographic representation. The 10 converted in the third converter unit 17 into phonetic script and now (for the first time or, if the word has already been taken over into the vocabulary memory 5a on the occasion of the first input, in a correction mode) fed to the vocabulary memory 5a. The contents 15 thereof are thereby expanded by a word checked with regard to the phonetic notation.

The procedure described above is explained below using two examples:

1st example

is input in correct orthographic "Jacques Chirac" via the alphanumeric input unit 7. 25 phonetic notation "sh a xk sh i: rr a xk" is formed therefrom in the first converter unit 9. The second converter unit 13 forms "sch a k sch i r a k" therefrom, and the input name is displayed on the display screen 15 in this notation. It is possible -30 without knowing the phonetic alphabet used in the first conversion - to perceive from this representation that the phonetic notation generated by the system is adequate. The user can confirm the conversion result, and the newly input name passes (in phonetic notation) 35 into the vocabulary memory 5a.

2nd example

"Professional Service" is input via the input unit 7. The first converter unit 9 generates therefrom in phonetic notation

"pro: fae shon:e: ll soervi: cc:e". In the result of the further conversion in the second converter unit 13, "Profäschonell Sörwieke" is yielded therefrom in pseudo-orthographic notation, and this representation is again displayed on the display screen 15.

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The user perceives straight away that the phonetic script generated by the system cannot be correct, since it does not correspond to the usual pronunciation of the input word combination. The user will now use the input unit in conjunction with the pseudo-orthographic notation, which is illustrated on the screen, to undertake a correction, and the correction result is converted again in the third converter unit 17 from the pseudo-orthographic notation into the phonetic one, and taken over in this form into the vocabulary memory 5a. In the example given, the user will therefore input "Profäschonnell Sörwis", and the new word combination (in phonetic notation) is anchored in the vocabulary memory.

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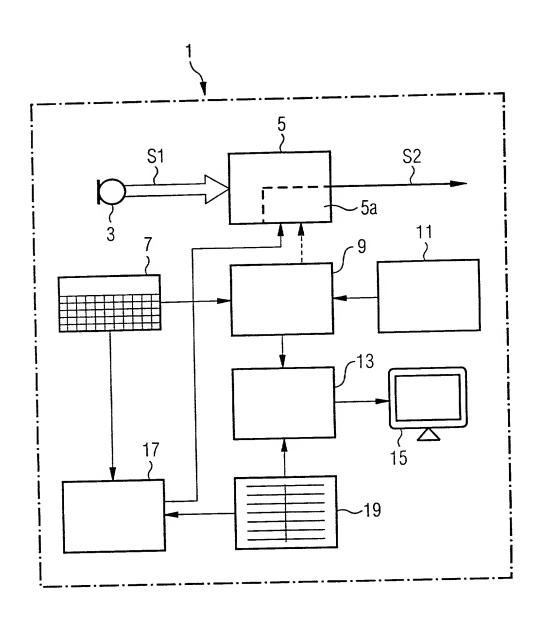
It is to be seen that the specified method can also be carried out in a plurality of steps when, after a first correction by the user, a further conversion from the phonetic notation into the pseudo-orthographic one is performed in conjunction with a further display in this representation such that, if appropriate, system errors can be eliminated iteratively. In this case, preferred to apply a self-learning system - known per se - for example in the form of a neural network with the aid of which a self-adaptation of the memory and/or the the assignment memory 19 contents of assignment rules of the first conversion operation (orthographic - phonetic) can be performed.

The design of the invention is not limited to the example described above, but is also possible in a multiplicity of modifications which are within the scope of expert activity.

- 1. A method for speech processing, in which an orthographic input is converted into a phonetic transcription in a first conversion step, and a step of checking and correcting the conversion result by the user is provided, characterized by a second step of converting from the phonetic transcription into a pseudo-orthographic representation and outputting in this representation.
- 2. The method as claimed in claim 1, characterized by a third step of converting an input performed in the pseudo-orthographic representation into the phonetic transcription.
- 3. The method as claimed in claim 1 or 2, characterized in that the second and/or third conversion step comprises a conversion of phonetic word units into simple graphemic script units, or vice versa.
- 4. The method as claimed in claim 3, characterized in that the second and/or third conversion step is executed by accessing a stored phoneme/grapheme assignment table (19).
- 5. The method as claimed in claim 3 or 4, characterized in that the second and/or third conversion step is executed by means of a self-learning method, in particular by using a neural network for continuous updating of the phoneme/grapheme assignment table (19).
- 6. A device (1) for carrying out the method as claimed in one of the preceding claims, having an alphanumeric input unit (7) and a first converter unit (9), connected to the latter on the input side. converting an orthographic input into а transcription, and a display unit (15) for optically displaying an input word, characterized by a second converter unit (13) for converting from the phonetic

transcription into a pseudo-orthographic representation, which is connected on the output side to the display unit.

- 7. The device as claimed in claim 6, characterized by a third converter unit (17) for converting an input performed in the pseudo-orthographic representation into the phonetic transcription.
- 8. The device as claimed in claim 6 or 7, characterized in that the second and/or third converter unit (13, 17) is connected to a memory (19) for storing a phoneme/grapheme assignment table.
- 9. The device as claimed in one of claims 6 to 8, characterized in that the second converter unit (13) is connected on the output side to a vocabulary memory (5a) of a speech recognition unit (5).



## Declaration and Power of Attorney For Patent Application Erklärung Für Patentanmeldungen Mit Vollmacht German Language Declaration

Als nachstehend benannter Erfinder erkläre ich hiermit an Eides Statt:

As a below named inventor, I hereby declare that:

dass mein Wohnsitz, meine Postanschrift, und meine Staatsangehörigkeit den im Nachstehenden nach meinem Namen aufgeführten Angaben entsprechen, My residence, post office address and citizenship are as stated below next to my name,

dass ich, nach bestem Wissen der ursprüngliche, erste und alleinige Erfinder (falls nachstehend nur ein Name angegeben ist) oder ein ursprünglicher, erster und Miterfinder (falls nachstehend mehrere Namen aufgeführt sind) des Gegenstandes bin, für den dieser Antrag gestellt wird und für den ein Patent beantragt wird für die Erfindung mit dem Titel:

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

device

for

speech

## Verfahren und Vorrichtung zur Sprachverarbeitung

the specification of which

deren Beschreibung

(check one)
☐ is attached hereto.
☑ was filed on \_\_11.0

Method

processing

hier beigefügt ist.
am 11.04.2000 als

(zutreffendes ankreuzen)

□ was filed on 11.04.2000 as

PCT international application

and

PCT internationale Anmeldung
PCT Anmeldungsnummer PCT/DE00/01116
eingereicht wurde und am

PCT International application
PCT Application No. PCT/DE00/01116
and was amended on \_\_\_\_\_

abgeändert wurde (falls tatsächlich abgeändert).

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Ich bestätige hiermit, dass ich den Inhalt der obigen Patentanmeldung einschliesslich der Ansprüche durchgesehen und verstanden habe, die eventuell durch einen Zusatzantrag wie oben erwähnt abgeändert wurde.

above.

I hereby state that I have reviewed and understand the

contents of the above identified specification, including

the claims as amended by any amendment referred to

Ich erkenne meine Pflicht zur Offenbarung irgendwelcher Informationen, die für die Prüfung der vorliegenden Anmeldung in Einklang mit Absatz 37, Bundesgesetzbuch, Paragraph 1.56(a) von Wichtigkeit sind, I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

Ich beanspruche hiermit ausländische Prioritätsvorteile gemäss Abschnitt 35 der Zivilprozessordnung der Vereinigten Staaten, Paragraph 119 aller unten angegebenen Auslandsanmeldungen für ein Patent oder eine Erfindersurkunde, und habe auch alle Auslandsanmeldungen für ein Patent oder eine Erfindersurkunde nachstehend gekennzeichnet, die ein Anmeldedatum haben, das vor dem Anmeldedatum der Anmeldung liegt, für die Priorität beansprucht wird.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Page 1

	German Language Declaration							
	Prior foreign apppl Priorität beansprud	ications cht				<u>Priorit</u>	y Claimed	
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## German Language Declaration

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POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. (list name and registration number)

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Voller Name des einzigen oder ursprünglichen Erfinders:	Full name of sole or first inventor:			
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Unterschrift des Erfinders Datum	Inventor's signature Date			
(RSZ. Nol 17.17.01				
Wohnsitz	Residence			
VIERKIRCHEN, DEUTSCHLAND	VIERKIRCHEN, GERMANY			
Staatsangehörigkeit	Citizenship			
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85256 VIERKIRCHEN	85256 VIERKIRCHEN			
Voller Name des zweiten Miterfinders (falls zutreffend):	Full name of second joint inventor, if any:			
Unterschrift des Erfinders Datum	Second Inventor's signature Date			
<u></u>				
Wohnsitz	Residence			
, Staatsangehörigkeit	ı Citizenship			
Ciaatsangenongkeit	Citizeriship			
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(Bitte entsprechende Informationen und Unterschriften im Falle von dritten und weiteren Miterfindern angeben).

(Supply similar information and signature for third and subsequent joint inventors).

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